

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Qing Guo et al.

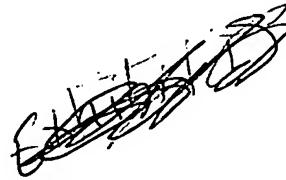
Serial No.: 10/019,381

Filed: Unassigned

For: METHOD AND SYSTEM TO SCALE DOWN A
DECISION TREE-BASED HIDDEN MARKOV
MODEL (HMM) FOR SPEECH RECOGNITIONBOX MISSING PARTSAssistant Commissioner for Patents
Washington, D.C. 20231

Examiner: Unassigned

Art Unit: Unassigned

PETITION UNDER 37 CFR 1.47(a)

Sir:

Pursuant to 37 C.F.R. 1.47(a), Applicants hereby request that Yonghong Yan and Baosheng Yuan be allowed to continue the above-identified patent application in their respective names and in the name of co-inventor, Qing Guo, who cannot be found. Facts in support of this petition are set forth below, and pertinent information is attached thereto.

(1) Qing Guo is named as a joint inventor in the above-identified patent application.

Qing Guo is the only joint inventor who cannot be found. Qing Guo is therefore the non-signing inventor.

(2) Attached hereto are the Inventor Declarations and Powers of Attorney executed by Yonghong Yan and Baosheng Yuan, the other joint inventors, on their own behalf and on behalf of non-signing inventor, Qing Guo.

(3) Also attached hereto is the Declaration of James H. Salter, the prosecuting attorney of record, along with proof of pertinent facts regarding the non-signing inventor, Qing Guo, who cannot be found, and thus, unable to join in the above-identified patent application.

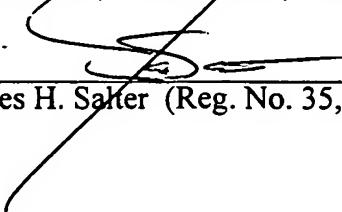
As pointed out in the Declaration of James H. Salter, the last known address for Qing Guo is:

9 # 306, Dongshengyuan, Haidian District
Beijing 100082 P.R. China

In view of this petition and the attached documents, Applicants request that Yonghong Yan and Baosheng Yuan be allowed to proceed with the subject patent application in their respective names and on behalf of non-signing inventor, Qing Guo.

Respectfully submitted,
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 4/17/ 2003


James H. Salter (Reg. No. 35,668)

12400 Wilshire Boulevard
Seventh Floor
Los Angeles, California 90025-1026
(408) 720-8300

FIRST CLASS CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to BOX MISSING PARTS, Assistant Commissioner for Patents, Washington, D.C. 20231 on April 17, 2003.

Claire Wallters
Name of Person Mailing Correspondence

Claire Wallters
Signature

4/17/2003
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:)
Qing Guo et al.) Examiner: Unassigned
Serial No.: 10/019,381) Art Unit: Unassigned
Filed: Unassigned)
For: METHOD AND SYSTEM TO SCALE DOWN A)
DECISION TREE-BASED HIDDEN MARKOV)
MODEL (HMM) FOR SPEECH RECOGNITION)

BOX MISSING PARTS

Assistant Commissioner for Patents
Washington, D.C. 20231

DECLARATION OF JAMES H. SALTER

Dear Sir:

I, James H. Salter, having personal knowledge of the facts set forth herein, hereby declare as follows:

1. I am the Attorney of Record and a member of the law firm of record, Blakely, Sokoloff, Taylor & Zafman LLP, for the above-identified patent application entitled "METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION"
2. The above-identified patent application names the inventors as: Qing Guo, Yonghong Yan and Baosheng Yuan.
3. The above-identified patent application was filed in the PCT as Application No. PCT/CN00/00299 on September 30, 2000 and subsequently filed in the US claiming priority to the PCT filing.
4. On June 14, 2002, another attorney at Blakely, Sokoloff, Taylor & Zafman received a "Notice to File Missing Parts in Nonprovisional Application (Filing Date Granted) with a mailing date of June 4, 2002. That attorney and secretary responded with a Petition and

extension of time fees on December 4, 2002 but did not furnish any of the requested Declaration documents.

5. Upon taking over this case from the previous attorney and secretary, we have diligently attempted to obtain the inventor, Qing Guo, signature on the Inventor Declaration and Power of Attorney form for the above-referenced patent application, specifically:

1) On December 30, 2002, I directed my administrative assistant, Claire Wallters, to send by Federal Express to inventors Qing Guo, Yonghong Yan, and Baosheng Yuan an Inventor Declaration and Power of Attorney form and an Assignment and copy of the filed PCT application at the following addresses:

Qing Guo
9 #306, Dongshengyuan, Haidian District
Beijing, 100082, P.R. China

Yonghong Yan
Apt. 307, Kempinski Apt.
No. 50 Liang Ma Qiao Rd, Chao Yang District
Beijing, 100016, P.R. China

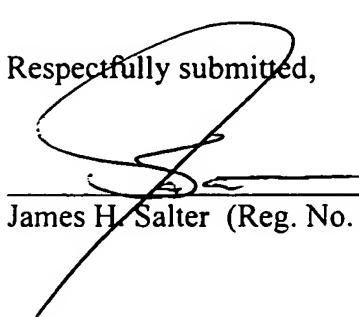
Baosheng Yuan
BLK 515, Jurong West, Street 52, #08-15
Singapore 640515

By cover letter, I asked Qing Guo, Yonghong Yan, and Baosheng Yuan to sign the forms, and to return the forms to me in a pre-paid Federal Express envelope I had enclosed. The forms from Qing Guo were returned to me via Federal Express as non-deliverable to the address provided to me by Intel Corporation, the assignee of the subject patent application. (Supporting document included as Exhibit A)

- 2) On January 8, 2003, my administrative assistant, Claire Wallters, emailed Intel Corporation requesting a more current address and was provided information that the inventor's employment with Intel had been terminated and the address that they provided was the same address to which we had previously sent the Federal Express package to. I have no forwarding address for Qing Guo.
- 3) The executed forms were returned to me by Yonghong Yan and Baosheng Yuan. (Supporting documents included as Exhibit B)
- 4) Qing Guo's last known address is:
9 #306, Dongshengyuan, Haidian District
Beijing, 100082, P.R. China
- 5) I believe I have made diligent efforts to reach a joint inventor who cannot be found and thus, is unable to join in an application for patent.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that these statements were made with knowledge that willful, false statements and the like may jeopardize the validity of the application, or any patent resulting therefrom.

Respectfully submitted,



James H. Salter (Reg. No. 35,668)

Date: 4/17/03, 2003
12400 Wilshire Boulevard
Seventh Floor
Los Angeles, CA 90025-1026
(408) 720-8300

CERTIFICATE OF FIRST CLASS MAILING

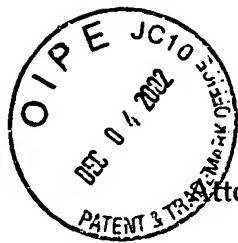
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to BOX MISSING PARTS, Assistant Commissioner for Patents, Washington, D.C. 20231 on April 17, 2003.

Claire Wallters
Name of Person Mailing Correspondence

Claire Wallters
Signature of Person Mailing Correspondence

10/019.381

4/17/03



Attorney's Docket No.: 42390.P9268

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Guo, et al.

Application No. 10/019,381

Filed: 06/30/2000

For: METHOD AND SYSTEM TO
SCALE DOWN A DECISION TREE-
BASED HIDDEN MARKOV MODEL
(HMM) FOR SPEECH RECOGNITION

Examiner: not yet assigned

Art Unit: not yet assigned

CERTIFICATE OF EXPRESS MAILING

Express Mail Label No. EL 867551687 US

Date of Deposit: 12/04/2002

I hereby certify that this correspondence is being
deposited with the United States Postal Service
"Express Mail Service" with sufficient postage in an
envelope addressed to Box Missing Parts,
Commissioner for Patents, Washington, D.C. 20231-
0001

on 12/04/2002

Date

Judy L. Steinkraus

Hon. Commissioner of Patents and Trademarks
Washington, D.C. 20231-0001

PETITION FOR FILING BY OTHER THAN ALL THE
INVENTORS PURSUANT TO 37 C.F.R. § 1.47 (b)

Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C.
371 In the United States Designated Elected Office (DO/EO/US) mailed
06/04/2002, Applicants respectfully submit a petition to file on behalf of omitted
inventors Qing Guo, Yonghong Yan, and Baosheng Yuan. Included with this
petition are the following items:

1. A declaration of facts from Judy L. Steinkraus providing proof of
pertinent facts concerning attempts to locate or reach inventors Qing Guo,
Yonghong Yan, and Baosheng Yuan to join in the patent application, and

execute the Declaration and Power of Attorney and Assignment for filing in the U.S. Patent and Trademark Office.

2. A petition for four (4) months extension of time under 37 CFR 1.136(a) and the required \$1,440.00 extension fee.
3. The required \$130.00 petition fee pursuant to 37 CFR 1.17(h) for the petition to file by other than all the inventors (37 CFR 1.47(b)).

The names and addresses of the inventors who cannot be located or reached to review, consider, execute, and otherwise cooperate in the prosecution of this patent application are:

Qing Guo
9#306, Dongshengyuan, Haidian District
Beijing 100082 People's Republic of China

Yonghong Yan
20756 NW AmberView Lane
Beaverton OR 97006

Baosheng Yuan
BLK 515, Jurong West, Street 52, #08-15
Singapore

The invention was developed under the employment of Intel Corporation and under the authorization of Intel Corporation (hereinafter "Intel") by the inventors/employees Qing Guo, Yonghong Yan, and Baosheng Yuan.

Upon information and belief, Intel is entitled to clear title to the invention and to the above-identified patent application and any patent which issues thereon.

Since the inventors received valuable consideration from Intel, Qing Guo, Yonghong Yan, and Baosheng Yuan have the duty to jointly execute the patent application and to assign the rights to the invention to Intel.

In view of Applicants' unsuccessful attempts to locate or reach Qing Guo, Yonghong Yan and Baosheng Yuan to execute the papers required for filing the present patent application, the required fee pursuant to 37 CFR 1.17(h) is enclosed.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN

John P. Ward
Reg. No. 40,216

Dated: 12/04/2002

12400 Wilshire Boulevard
Seventh Floor
Los Angeles, CA 90025-1026
(408) 720-8598

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of: Guo, et al.

Application No. 10/019,381

Filed: 06/30/2000

For: METHOD AND SYSTEM TO
SCALE DOWN A DECISION TREE-
BASED HIDDEN MARKOV MODEL
(HMM) FOR SPEECH RECOGNITION

Examiner: not yet assigned

Art Unit: not yet assigned

CERTIFICATE OF EXPRESS MAILING

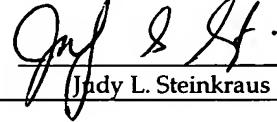
Express Mail Label No. EL 867551687 US

Date of Deposit: 12/04/2002

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deposited with the United States Postal Service
"Express Mail Service" with sufficient postage in an
envelope addressed to Box Missing Parts,
Commissioner for Patents, Washington, D.C. 20231-
0001

on 12/04/2002

Date



Judy L. Steinkraus

Hon. Commissioner of Patents and Trademarks
Washington, D.C. 20231-0001

DECLARATION

Sir:

I, Judy L. Steinkraus, having personal knowledge of the facts set forth herein,
hereby declare and say as follows:

1. On 08/01/2002 I transmitted a Declaration and Power of Attorney and
Assignment via e-mail to all three inventors to their corporate e-mail
addresses as provided by Intel Corporation. See attached Exhibit A.
2. On 08/01/2002 I received an e-mail notification that my e-mails of same
date was undeliverable. See attached Exhibit B.

Best Available Copy

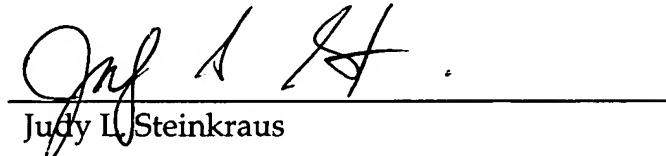
3. On 08/01/2002 I faxed the Declaration and Power of Attorney and Assignment to Ms. Wei Wei X. Huang, an administrative assistant in Intel's Beijing office. I received printed confirmation of transmission. See attached Exhibit C.
4. On 09/03/2002 I faxed the same Declaration and Power of Attorney and Assignment to Ms. Wei Wei X. Huang with a handwritten request for status of these documents. See attached Exhibit D.
5. On 10/17/2002 I contacted my firm's Database Group via e-mail for advisement, who forwarded my communication to local Intel representative Quang Dinh, who in turn forwarded my communication to local Intel representative Janice Boulden, who confirmed I had been contacting the correct person in Beijing and in doing so, confirmed that I had been using correct contact information for her. See attached Exhibit E.
6. On 10/29/2002 10:15 p.m. I phoned Ms. Huang because I had not received any communications from her subsequent to Ms. Boulden's 10/17/2002 e-mail which Ms. Huang was copied on. Ms. Huang confirmed that she has received my communications in connection with the referenced application and that these inventors may be some of the individuals she cannot locate for signatures. She requested an explanation of the purpose of these documents and I provided explanation, stressing that they are mandatory to continue prosecution of the referenced patent application. She advised that within a week of our telephone conversation she would either fax or e-mail me a list of which inventors cannot be located. I have

not received any communications from Ms. Huang to date. See attached Exhibit F.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN



Judy L. Steinkraus

Dated: 12/04/2002

12400 Wilshire Boulevard
Seventh Floor
Los Angeles, CA 90025-1026
(408) 720-8300

Judy Steinkraus
08/01/02 12:19 PM

To: qing.guo@intel.com, yonghong.yan@intel.com,
baosheng.yuan@intel.com
cc:
Subject: Urgent Regarding P9268 Your signatures are needed by Monday
August 5

Hello, the Patent Office has asked us to provide the following documents signed by you to them by Monday August 5. I will send these in one additional way to you in case you have difficulty opening the following attachments. Kindly date and sign your portion of the attached Assignment and Declaration & Power of Attorney and return to my attention via fax (408) 720-8383 by Monday August 5 noon PST (California time) if possible.

If you cannot fax the documents back by Monday, we can pay for an extension of time and will look forward to receiving your signed documents at your earliest convenience. Please feel welcome to contact me should you have any questions. Thank you and best regards.



42390.P9268 Assignment.doc



42390.P9268 Dec & POA.doc

Judy Steinkraus
Secretary to John Ward
Blakely Sokoloff Taylor Zafman LLP
Sunnyvale CA

Judy Steinkraus
08/01/02 12:22 PM

To: qing.guo@intel.com, yonghong.yan@intel.com,
baosheng.yuan@intel.com
cc:
Subject: P9268 Here is a different format in case the previous e-mail
attachments won't open for you..

INTEL CORPORATION

Rev. 05/09/02 (D3 INTEL)

Attorney's Docket No.: 42390.P9268

PATENT

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION
(FOR INTEL CORPORATION PATENT APPLICATIONS)**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION, the specification of which

X is attached hereto.
was filed on 06/30/2000 as
United States Application Number _____
or PCT International Application Number PCT/CN00/00299
and was amended on (MM/DD/YYYY) _____.
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above. I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application. I do not know and do not believe that the claimed invention was in public use or on sale in the United States of America more than one year prior to this application, nor do I know or believe that the invention has been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority
Claimed

(Number) (Country) (Foreign Filing Date - MM/DD/YYYY) Yes No

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

Application Number (Filing Date – MM/DD/YYYY)

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number (Filing Date – MM/DD/YYYY) Status .. patented,
pending, abandoned

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

Send correspondence to John P. Ward, Esq., BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to John P. Ward, Esq., (408) 720-8300.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor: Qing Guo

Inventor's Signature _____ Date _____

Residence: Beijing, People's Republic of China Citizenship: People's Republic of China

Post Office Address: 9#306, Dongshengyuan, Haidian District, Beijing 100082 People's Republic of China

Full Name of Second/Joint Inventor: Yonghong Yan

Inventor's Signature _____ Date _____

Residence: Beaverton, OR Citizenship: People's Republic of China

Post Office Address: 20756 NW AmberView Lane
Beaverton OR 97006

Full Name of Third/Joint Inventor: Baosheng Yuan

Inventor's Signature _____ Date _____

Residence: Singapore Citizenship: Singaporean

Post Office Address: BLK 515, Jurong West, Street 52, #08-15
Singapore

APPENDIX A

Ramin Aghevli, Reg. No. 43,462; William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. 42,261; W. Thomas Babbitt, Reg. No. 39,591; Jordan M. Becker, Reg. No. 39,602; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; R. Alan Burnett, Reg. No. 46,149; Daniel J. Burns, Reg. No. 50,222; Gregory D. Caldwell, Reg. No. 39,926; Thomas M. Coester, Reg. No. 39,637; Robert P. Cogan, Reg. No. 25,049; Donna Jo Coningsby, Reg. No. 41,684; Florin A. Corie, Reg. No. 46,244; Mimi D. Dao, Reg. No. 45,628; Stephen M. De Klerk, Reg. No. 46,503; Michael A. DeSanctis, Reg. No. 39,957; Daniel M. De Vos, Reg. No. 37,813; Justin M. Dillon, Reg. No. 42,486; Sanjeet Dutta, Reg. No. 46,145; Tarek N. Fahmi, Reg. No. 41,402; Mark C. Farrell, Reg. No. 45,988; Thomas S. Ferrill, Reg. No. 42,532; Kyle H. Flindt, Reg. No. 42,539; George L. Fountain, Reg. No. 37,374; Andre M. Gibbs, Reg. No. 47,593; James Y. Go, Reg. No. 40,621; Mark A. Goldstein, Reg. No. 50,759; Alan E. Heimlich, Reg. No. 48,808; James A. Henry, Reg. No. 41,064; Willmore F. Holbrow III, Reg. No. 41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W Hoover II, Reg. No. 32,992; Libby H. Hope, Reg. No. 46,774; Eric S. Hyman, Reg. No. 30,139; William W. Kidd, Reg. No. 31,772; Walter T. Kim, Reg. No. 42,731; Eric T. King, Reg. No. 44,188; Steve Laut, Reg. No. 47,736; Suk S. Lee, Reg. No. 47,745; Gordon R. Lindeen III, Reg. No. 33,192; Jan C. Little, Reg. No. 41,181; Julio Loza, Reg. No. 47,758; Joseph Lutz, Reg. No. 43,765; Lawrence Lycke, Reg. No. 38,540; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, Reg. No. 48,095; Raul D. Martinez, Reg. No. 46,904; Paul A. Mendonsa, Reg. No. 42,879; Clive D. Menezes, Reg. No. 45,493; Jonathan S. Miller, Reg. No. 48,534; Richard A. Nakashima, Reg. No. 42,023; Thien T. Nguyen, Reg. No. 43,835; Thinh V. Nguyen, Reg. No. 42,034; Robert B. O'Rourke, Reg. No. 46,972; Daniel E. Ovanezian, Reg. No. 41,236; Gregg A. Peacock, Reg. No. 45,001; Marina Portnova, Reg. No. 45,750; Michael A. Proksch, Reg. No. 43,021; William F. Ryann, Reg. 44,313; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Jeffrey S. Schubert, Reg. No. 43,098; Saina S. Shamilov, Reg. No. 48,266; Kevin G. Shao, Reg. No. 45,095; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Ronald S. Tamura, Reg. No. 43,179; Edwin H. Taylor, Reg. No. 25,129; Lance A. Termes, Reg. No. 43,184; John F. Travis, Reg. No. 43,203; Thomas J. Treutler, Reg. No. 51,126; Kerry D. Tweet, Reg. No. 45,959; Mark C. Van Ness, Reg. No. 39,865; Thomas A. Van Zandt, Reg. No. 43,219; Lester J. Vincent, Reg. No. 31,460; Archana B. Vittal, Reg. No. 45,182; Glenn E. Von Tersch, Reg. No. 41,364; John P. Ward, Reg. No. 40,216; Mark L. Watson, Reg. No. 46,322; Thomas C. Webster, Reg. No. 46,154; Linda S. Zachariah, Reg. No. 48,057; and Norman Zafman, Reg. No. 26,250; my patent attorneys, and William E. Hickman, Reg. No. 46,771, Brent E. Vecchia, Reg. No. 48,011, and Lehua Wang, Reg. No. 48,023; my patent agents, of BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (310) 207-3800, and Alan K. Aldous, Reg. No. 31,905; Ed Brake, Reg. No. 37,784; Ben Burge, Reg. No. 42,372; Robert A. Burtzlaff, Reg. No. 35,466; Richard C. Calderwood, Reg. No. 35,468; Jeffrey S. Draeger, Reg. No. 41,000; Cynthia Thomas Faatz, Reg. No. 39,973; Jeffrey B. Huter, Reg. No. 41,086; John Kacvinsky, Reg. No. 40,040; Seth Z. Kalson, Reg. No. 40,670; David J. Kaplan, Reg. No. 41,105; Peter Lam, Reg. No. 44,855; Anthony Martinez, Reg. No. 44,223; Paul Nagy, Reg. No. 37,896; Dennis A. Nicholls, Reg. No. 42,036; Leo V. Novakoski, Reg. No. 37,198; Lanny Parker, Reg. No. 44,281; Thomas C. Reynolds, Reg. No. 32,488; Kenneth M. Seddon, Reg. No. 43,105; Mark Seeley, Reg. No. 32,299; Steven P. Skabrat, Reg. No. 36,279; Howard A. Skaist, Reg. No. 36,008; Robert G. Winkle, Reg. No. 37,474; Sharon Wong, Reg. No. 37,760; Steven D. Yates, Reg. No. 42,242; Calvin E. Wells; Reg. No. 43,256 and Charles K. Young, Reg. No. 39,435, my patent agents, of INTEL CORPORATION; and James R. Thein, Reg. No. 31,710, my patent attorney; with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

APPENDIX B

Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing

information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

Rev. 01/01/2000 (A2)

Attorney's Docket

A S S I G N M E N T

PATENT

No.: 42390.P9268 (For Execution After Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We, the undersigned, Qing Guo, Yonghong Yan, and Baosheng Yuan, hereby sell, assign, and transfer to Intel Corporation, a corporation of Delaware, having a principal place of business at 2200 Mission College Boulevard, Santa Clara CA 95052-8119, "Assignee"), and its successors, assigns, and legal representatives, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements that are disclosed in the PCT application for the United States patent that was filed 06/30/2000 and assigned PCT Application No. PCT/CN00/00299 and is entitled METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION, and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue

applications, reexaminations, extensions, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date:_____, 20__ -

Name: Qing Guo

Date:_____, 20__ -

Name: Yonghong Yan

Date:_____, 20__ -

Name: Baosheng Yuan



System
Administrator
<postmaster@intel.com>

To: Judy_Steinkraus@bstz.com

cc:

Subject: Undeliverable: Urgent Regarding P9268 Your signatures are needed by Monday August 5

B7th & B

08/01/02 12:25 PM

Your message

To: qing.guo@intel.com; yonghong.yan@intel.com;
baosheng.yuan@intel.com
Subject: Urgent Regarding P9268 Your signatures are needed by Monday
August 5
Sent: Thu, 1 Aug 2002 12:19:13 -0700

did not reach the following recipient(s):

baosheng.yuan@intel.com on Thu, 1 Aug 2002 12:25:00 -0700

The recipient name is not recognized

The MTS-ID of the original message is:

c=us;a=mci;p=intel;l=FMSMSX01702080119253DWD4ZA6
MSEXCH:IMS:Intel:Americas01:FMSMSX017 0 (000C05A6) Unknown Recipient
yonghong.yan@intel.com on Thu, 1 Aug 2002 12:25:00 -0700

The recipient name is not recognized

The MTS-ID of the original message is:

c=us;a=mci;p=intel;l=FMSMSX01702080119253DWD4ZA6
MSEXCH:IMS:Intel:Americas01:FMSMSX017 0 (000C05A6) Unknown Recipient
qing.guo@intel.com on Thu, 1 Aug 2002 12:25:00 -0700

The recipient name is not recognized

The MTS-ID of the original message is:

c=us;a=mci;p=intel;l=FMSMSX01702080119253DWD4ZA6
MSEXCH:IMS:Intel:Americas01:FMSMSX017 0 (000C05A6) Unknown Recipient

----- Message from Judy_Steinkraus@bstz.com on Thu, 1 Aug 2002 12:19:13 -0700 -----

To: qing.guo@intel.com, yonghong.yan@intel.com,

baosheng.yuan@intel.com

Subject: Urgent Regarding P9268 Your signatures are needed by Monday August
5

Hello, the Patent Office has asked us to provide the following documents signed by you to them by Monday August 5. I will send these in one additional way to you in case you have difficulty opening the following attachments. Kindly date and sign your portion of the attached Assignment and Declaration & Power of Attorney and return to my attention via fax (408) 720-8383 by Monday August 5 noon PST (California time) if possible.

If you cannot fax the documents back by Monday, we can pay for an extension of time and will look forward to receiving your signed documents at your earliest convenience. Please feel welcome to contact me should you have any questions. Thank you and best regards.

(See attached file: 42390.P9268 Assignment.doc) (See attached file: 42390.P9268 Dec & POA.doc)

Judy Steinkraus
Secretary to John Ward
Blakely Sokoloff Taylor Zafman LLP
Sunnyvale CA



42390.P9268 Assignment.doc



42390.P9268 Dec & POA.doc

**BLAKELY
SOKOLOFF
TAYLOR &
ZAFMAN**

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1279 OAKMEAD PARKWAY
SUNNYVALE, CALIFORNIA 94086
(408) 720-8300 (Telephone)
(408) 720-8383 (Facsimile)

E. M. C.

FACSIMILE TRANSMITTAL SHEET

Deliver to: Weiwei X. Huang

Firm Name: Intel China

Fax Number: 011 86 10 8529 8717

From: John P. Ward

Date: 8/1/2002 *QW* **Time:** 3:00 p.m.

Operator: Judy Steinkraus *QW* **Matter:** 42390.P9268

Number of pages including cover sheet: 7

Message: Hello, these are the documents that were just e-mailed to you. Kindly have Mr. Guo, Yan and Yuan sign and date these documents and please return to my attention via fax to (408) 720-8383 if possible by Monday noon California time. If that is impossible, we can take a one month extension. Thank you and best regards!

CONFIDENTIALITY NOTE

The documents accompanying this facsimile transmission contain information from the law firm of Blakely Sokoloff Taylor & Zafman that is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution, or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

**IF YOU EXPERIENCE ANY DIFFICULTY IN RECEIVING THE ABOVE PAGES,
PLEASE CALL (408) 720-8300 AND ASK FOR THE OPERATOR NAMED ABOVE.**

Attorney's Docket

A S S I G N M E N T

PATENT

No.: 42390.P9268 (For Execution After Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We, the undersigned, Qing Guo, Yonghong Yan, and Baosheng Yuan, hereby sell, assign, and transfer to Intel Corporation, a corporation of Delaware, having a principal place of business at 2200 Mission College Boulevard, Santa Clara CA 95052-8119, "Assignee"), and its successors, assigns, and legal representatives, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements that are disclosed in the PCT application for the United States patent that was filed 06/30/2000 and assigned PCT Application No. PCT/CN00/00299 and is entitled **METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION**, and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: _____, 20 ____ Name: Qing Guo

Date: _____, 20 ____ Name: Yonghong Yan

Date: _____, 20 ____ Name: Baosheng Yuan

DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION
(FOR INTEL CORPORATION PATENT APPLICATIONS)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION, the specification of which

X is attached hereto.
X was filed on 06/30/2000 as
 United States Application Number _____
 or PCT International Application Number PCT/CN00/00299
 and was amended on (MM/DD/YYYY) _____
 (if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above. I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application. I do not know and do not believe that the claimed invention was in public use or on sale in the United States of America more than one year prior to this application, nor do I know or believe that the invention has been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>	<u>Priority Claimed</u>			
(Number)	(Country)	(Foreign Filing Date - MM/DD/YYYY)	Yes	No

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

Application Number	(Filing Date - MM/DD/YYYY)
--------------------	----------------------------

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph

of Title 35, United States Code, Section 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	(Filing Date – MM/DD/YYYY)	Status -- patented, pending, abandoned
--------------------	----------------------------	---

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

Send correspondence to John P. Ward, Esq., **BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP**, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to John P. Ward, Esq., (408) 720-8300.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor: Qing Guo

Inventor's Signature _____ Date _____

Residence: Beijing, People's Republic of China Citizenship: People's Republic of China

Post Office Address: 9#306, Dongshengyuan, Haidian District,
Beijing 100082 People's Republic of China

Full Name of Second/Joint Inventor: Yonghong Yan

Inventor's Signature _____ Date _____

Residence: Beaverton, OR Citizenship: People's Republic of China

Post Office Address: 20756 NW AmberView Lane
Beaverton OR 97006

Full Name of Third/Joint Inventor: Baosheng Yuan

Inventor's Signature _____ Date _____

Residence: Singapore Citizenship: Singaporean

Post Office Address: BLK 515, Jurong West, Street 52, #08-15
Singapore

APPENDIX A

Ramin Aghevi, Reg. No. 43,462; William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. 42,261; W. Thomas Babbitt, Reg. No. 39,591; Jordan M. Becker, Reg. No. 39,602; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; R. Alan Burnett, Reg. No. 46,149; Daniel J. Burns, Reg. No. 50,222; Gregory D. Caldwell, Reg. No. 39,926; Thomas M. Coester, Reg. No. 39,637; Robert P. Cogan, Reg. No. 25,049; Donna Jo Coningsby, Reg. No. 41,684; Florin A. Corie, Reg. No. 46,244; Mimi D. Dao, Reg. No. 45,628; Stephen M. De Clerk, Reg. No. 46,503; Michael A. DeSanctis, Reg. No. 39,957; Daniel M. De Vos, Reg. No. 37,813; Justin M. Dillon, Reg. No. 42,486; Sanjeet Dutta, Reg. No. 46,145; Tarek N. Fahmi, Reg. No. 41,402; Mark C. Farrell, Reg. No. 45,988; Thomas S. Ferrill, Reg. No. 42,532; Kyle H. Flindt, Reg. No. 42,539; George L. Fountain, Reg. No. 37,374; Andre M. Gibbs, Reg. No. 47,593; James Y. Go, Reg. No. 40,621; Mark A. Goldstein, Reg. No. 50,759; Alan E. Heimlich, Reg. No. 48,808; James A. Henry, Reg. No. 41,064; Willmore F. Holbrow III, Reg. No. 41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W Hoover II, Reg. No. 32,992; Libby H. Hope, Reg. No. 46,774; Eric S. Hyman, Reg. No. 30,139; William W. Kidd, Reg. No. 31,772; Walter T. Kim, Reg. No. 42,731; Eric T. King, Reg. No. 44,188; Steve Laut, Reg. No. 47,736; Suk S. Lee, Reg. No. 47,745; Gordon R. Lindeen III, Reg. No. 33,192; Jan C. Little, Reg. No. 41,181; Julio Loza, Reg. No. 47,758; Joseph Lutz, Reg. No. 43,765; Lawrence Lycke, Reg. No. 38,540; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, Reg. No. 48,095; Raul D. Martinez, Reg. No. 46,904; Paul A. Mendonsa, Reg. No. 42,879; Clive D. Menezes, Reg. No. 45,493; Jonathan S. Miller, Reg. No. 48,534; Richard A. Nakashima, Reg. No. 42,023; Thien T. Nguyen, Reg. No. 43,835; Thinh V. Nguyen, Reg. No. 42,034; Robert B. O'Rourke, Reg. No. 46,972; Daniel E. Ovanezian, Reg. No. 41,236; Gregg A. Peacock, Reg. No. 45,001; Marina Portnova, Reg. No. 45,750; Michael A. Proksch, Reg. No. 43,021; William F. Ryann, Reg. 44,313; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Jeffrey S. Schubert, Reg. No. 43,098; Saina S. Shamilov, Reg. No. 48,266; Kevin G. Shao, Reg. No. 45,095; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Ronald S. Tamura, Reg. No. 43,179; Edwin H. Taylor, Reg. No. 25,129; Lance A. Termes, Reg. No. 43,184; John F. Travis, Reg. No. 43,203; Thomas J. Treutler, Reg. No. 51,126; Kerry D. Tweet, Reg. No. 45,959; Mark C. Van Ness, Reg. No. 39,865; Thomas A. Van Zandt, Reg. No. 43,219; Lester J. Vincent, Reg. No. 31,460; Archana B. Vittal, Reg. No. 45,182; Glenn E. Von Tersch, Reg. No. 41,364; John P. Ward, Reg. No. 40,216; Mark L. Watson, Reg. No. 46,322; Thomas C. Webster, Reg. No. 46,154; Linda S. Zachariah, Reg. No. 48,057; and Norman Zafman, Reg. No. 26,250; my patent attorneys, and William E. Hickman, Reg. No. 46,771; Brent E. Vecchia, Reg. No. 48,011, and Lehua Wang, Reg. No. 48,023; my patent agents, of BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (310) 207-3800, and Alan K. Aldous, Reg. No. 31,905; Ed Brake, Reg. No. 37,784; Ben Burge, Reg. No. 42,372; Robert A. Burtzlaff, Reg. No. 35,466; Richard C. Calderwood, Reg. No. 35,468; Jeffrey S. Draeger, Reg. No. 41,000; Cynthia Thomas Faatz, Reg. No. 39,973; Jeffrey B. Huter, Reg. No. 41,086; John Kacvinsky, Reg. No. 40,040; Seth Z. Kalson, Reg. No. 40,670; David J. Kaplan, Reg. No. 41,105; Peter Lam, Reg. No. 44,855; Anthony Martinez, Reg. No. 44,223; Paul Nagy, Reg. No. 37,896; Dennis A. Nicholls, Reg. No. 42,036; Leo V. Novakoski, Reg. No. 37,198; Lanny Parker, Reg. No. 44,281; Thomas C. Reynolds, Reg. No. 32,488; Kenneth M. Seddon, Reg. No. 43,105; Mark Seeley, Reg. No. 32,299; Steven P. Skabrat, Reg. No. 36,279; Howard A. Skaist, Reg. No. 36,008; Robert G. Winkle, Reg. No. 37,474; Sharon Wong, Reg. No. 37,760; Steven D. Yates, Reg. No. 42,242; Calvin E. Wells; Reg. No. 43,256 and Charles K. Young, Reg. No. 39,435, my patent agents, of INTEL CORPORATION; and James R. Thein, Reg. No. 31,710, my patent attorney; with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

APPENDIX B

Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

*** TX REPORT ***

TRANSMISSION OK

TX/RX NO	3924
CONNECTION TEL	011861085298717
SUBADDRESS	
CONNECTION ID	
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PGS.	7
RESULT	OK

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN, LLP
A PARTNERSHIP INCLUDING LAW CORPORATIONS

1279 OAKMEAD PARKWAY
SUNNYVALE, CA 94085-4040
(408) 720-8598

COMERICABANK-CALIFORNIA
SUNNYVALE, CALIFORNIA 94086

56938

56938

90-3752
1211

April 17, 2003

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THE Patent & Trademark Office
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IF NOT CORRECT PLEASE NOTIFY US PROMPTLY. NO RECEIPT DESIRED.

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042390.P9268(US) - Intel Corporation

JHS/cmw

Missing Parts filing fee

"Method And System To Scale Down A Decision Tree-Based Hidden Markov Model (HMM) For Speech Recognition"

Serial No.: 10/019,381

Inventors: Qing Guo et al.

56938

BLAKELY SOKOLOFF TAYLOR & ZAFMAN

A LIMITED LIABILITY PARTNERSHIP INCLUDING LAW CORPORATIONS

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OTHER OFFICES
SILICON VALLEY/SAN JOSE, CA
LOS ANGELES, CA
ORANGE COUNTY/COSTA MESA, CA
PORTLAND/LAKE OSWEGO, OR
SEATTLE, WA
DENVER, CO
AUSTIN, TX

December 30, 2002

Via Federal Express
Qing Guo
9 #306, Dongshengyuan, Haidian District
Beijing, 100082, P.R. China

CONFIDENTIAL COMMUNICATION
ATTORNEY/CLIENT PRIVILEGED

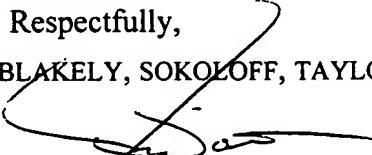
Re: U.S. Patent Application for:
"METHOD AND SYSTEM TO SCALE DOWN A
DECISION TREE-BASED HIDDEN MARKOV MODEL
(HMM) FOR SPEECH RECOGNITION"
Inventors: Qing Guo, Yonghong Yan and Baosheng
Yuan
PCT Filed: September 30, 2000
Application No.: PCT/CN00/00299
U.S. Application No.: 10/019,381
Our Ref.: 42390.P9268

Dear Qing:

The above-referenced Patent Cooperation Treaty (PCT) patent application naming you as a co-inventor has been filed on behalf of Intel Corporation with the United States Patent and Trademark Office. The Patent and Trademark Office requires that we file a Declaration identifying the application by the international application number and international filing date. Enclosed for your review is the corresponding published PCT patent application. Also enclosed for your signature are the Declaration and Assignment documents. Please sign and date these documents and return them to us as soon as possible so we may continue to prosecute this patent application. We enclose a self-addressed, pre-paid Federal Express envelope for your convenience.

Respectfully,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP


Jim H. Salter
jim_salter@bstz.com

JHS/cmw
Enclosures

Attorney's Docket No.: 42390.P9268

Patent

First Named Inventor: Qing Guo

Check One:

Declaration Submitted with
Initial Filing OR
Declaration Submitted After
Initial Filing (Surcharge under
37 C.F.R. § 1.16(e) Required).

Complete If Known:

Application No.: 10/019,381
Filing Date: Not Yet Assigned
Art Unit: Not Yet Assigned
Examiner Name: Not Yet Assigned

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION
(FOR INTEL CORPORATION PATENT APPLICATIONS)**

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION

the specification of which

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment specifically referred to above.

I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application. I do not know and do not believe that the claimed invention was in public use or on sale in the United States of America more than one year prior to this application, nor do I know or believe that the invention has been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed:

<u>Prior Foreign Application(s)</u>			<u>Priority Claimed?</u>		<u>Certified Copy Attached?</u>	
<u>PCT/CN00/00299</u> <u>(Number)</u>	<u>PCT</u> <u>(Country)</u>	<u>09/30/2000</u> <u>(Foreign Filing Date -</u> <u>MM/DD/YYYY)</u>	<u>X</u> <u>Yes</u>	<u>No</u>	<u>Yes</u>	<u>X</u> <u>No</u>
<u>(Number)</u>	<u>(Country)</u>	<u>(Foreign Filing Date -</u> <u>MM/DD/YYYY)</u>	<u>Yes</u>	<u>No</u>	<u>Yes</u>	<u>No</u>
<u>(Number)</u>	<u>(Country)</u>	<u>(Foreign Filing Date -</u> <u>MM/DD/YYYY)</u>	<u>Yes</u>	<u>No</u>	<u>Yes</u>	<u>No</u>

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the U. S. Patent and Trademark Office connected herewith.

Direct all correspondence to (check one):

Customer Number or Bar Code Label **OR**
 Correspondence Address Below:

James H. Salter
(Name of Attorney or Agent)
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
12400 Wilshire Boulevard
Seventh Floor
Los Angeles, California 90025
Telephone: (408) 720-8300
Fax: (408) 720-8383

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor Qing Guo

Inventor's Signature **Date**

Residence Beijing, P.R. China (City, State, Country) Citizenship China (Country)

Mailing Address 9 # 306, Dongshengyuan, Haidian District
Beijing 100082 P.R. China

INTEL CORPORATION
Rev. 11/26/02 (D3 INTEL)

Full Name of Second/Joint Inventor Yonghong Yan

Inventor's Signature _____ Date _____

Residence Beijing, P.R. China Citizenship China
(City, State, Country) (Country)

Mailing Address Apt. 307, Kempinski Apt., No. 50 Liang Ma Qiao Rd, Chao Yang District
Beijing 100016 P.R. China

Full Name of Third/Joint Inventor Baosheng Yuan

Inventor's Signature _____ Date _____

Residence Singapore Citizenship Singapore
(City, State, Country) (Country)

Mailing Address BLK 515, Jurong West, Street 52, #08-15
Singapore 640515

APPENDIX A

Ramin Aghevli, Reg. No. 43,462; William E. Alford, Reg. No. 37,764; Farzad E. Amini, Reg. No. 42,261; W. Thomas Babbitt, Reg. No. 39,591; Jordan M. Becker, Reg. No. 39,602; Michael A. Bernadicou, Reg. No. 35,934; Roger W. Blakely, Jr., Reg. No. 25,831; R. Alan Burnett, Reg. No. 46,149; Gregory D. Caldwell, Reg. No. 39,926; Thomas M. Coester, Reg. No. 39,637; Florin A. Corie, Reg. No. 46,244; Mimi D. Dao, Reg. No. 45,628; Stephen M. De Clerk, Reg. No. 46,503; Daniel M. De Vos, Reg. No. 37,813; Sanjeet Dutta, Reg. No. 46,145; Tarek N. Fahmi, Reg. No. 41,402; Thomas S. Ferrill, Reg. No. 42,532; George L. Fountain, Reg. No. 36,374; Adam Furst, Reg. No. 51,710; Angelo J. Gaz, Reg. No. 45,907; Andre M. Gibbs, Reg. No. 47,593; James Y. Go, Reg. No. 40,621; Melissa A. Haapala, Reg. No. 47,622; Alan E. Heimlich, Reg. No. 48,808; James A. Henry, Reg. No. 41,064; William E. Hickman, Reg. No. 46,771; Willmore F. Hobrow III, Reg. No. 41,845; Sheryl Sue Holloway, Reg. No. 37,850; George W. Hoover II, Reg. No. 32,992; Libby H. Hope, Reg. No. 46,774; Eric S. Hyman, Reg. No. 30,139; Aslam A. Jaffrey, Reg. No. 51,841; William W. Kidd, Reg. No. 31,772; Walter T. Kim, Reg. No. 42,731; Eric T. King, Reg. No. 44,188; Steve Laut, Reg. No. 47,736; Suk S. Lee, Reg. No. 47,745; Gordon R. Lindeen III, Reg. No. 33,192; Jan C. Little, Reg. No. 41,181; Julio Loza, Reg. No. 47,758; Joseph Lutz, Reg. No. 43,765; Lawrence E. Lycke, Reg. No. 38,540; Michael J. Mallie, Reg. No. 36,591; Andre L. Marais, Reg. No. 48,095; Raul D. Martinez, Reg. No. 46,904; Paul A. Mendonsa, Reg. No. 42,879; Jonathan S. Miller, Reg. No. 48,534; Richard A. Nakashima, Reg. No. 42,023; Thien T. Nguyen, Reg. No. 43,835; Thinh V. Nguyen, Reg. No. 42,034; Robert B. O'Rourke, Reg. No. 46,972; Daniel E. Ovanezian, Reg. No. 41,236; Gregg A. Peacock, Reg. No. 45,001; Philip A. Pedigo, Reg. No. 52,107; Marina Portnova, Reg. No. 45,750; Joseph A. Pugh, Reg. No. 52,137; James H. Salter, Reg. No. 35,668; William W. Schaal, Reg. No. 39,018; James C. Scheller, Reg. No. 31,195; Saina S. Shamilov, Reg. No. 48,266; Kevin G. Shao, Reg. No. 45,095; Stanley W. Sokoloff, Reg. No. 25,128; Judith A. Szepesi, Reg. No. 39,393; Edwin H. Taylor, Reg. No. 25,129; Lisa Tom, Reg. No. 52,291; John F. Travis, Reg. No. 43,203; Kerry D. Tweet, Reg. No. 45,959; Mark C. Van Ness, Reg. No. 39,865; Thomas A. Van Zandt, Reg. No. 43,219; Lester J. Vincent, Reg. No. 31,460; Glenn E. Von Tersch, Reg. No. 41,364; John P. Ward, Reg. No. 40,216; Mark L. Watson, Reg. No. 46,322; Thomas C. Webster, Reg. No. 46,154; and Norman Zafman, Reg. No. 26,250; my patent attorneys, and William J. Daley, Reg. No. P-52,471; Brent E. Vecchia, Reg. No. 48,011, and Lehua Wang, Reg. No. 48,023; my patent agents, of BLAKELY SOKOLOFF TAYLOR & ZAFMAN LLP, with offices located at 12400 Wilshire Boulevard, 7th Floor, Los Angeles, California 90025, telephone (408) 720-8300, and Alan K. Aldous, Reg. No. 31,905; Shireen I. Bacon, Reg. No. 40,494; R. Edward Brake, Reg. No. 37,784; Ben Burge, Reg. No. 42,372; Robert A. Burtzlaff, Reg. No. 35,466; Glen B. Choi, Reg. No. 43,546; Kenneth Cool, Reg. No. 40,570; Jeffrey S. Draeger, Reg. No. 41,000; Cynthia Thomas Faatz, Reg. No. 39,973; Christopher Gagne, Reg. No. 36,142; Sharmini N. Green, Reg. No. 41,410; Robert Greenberg, Reg. No. 44,133; Bradley Greenwald, Reg. No. 34,341; Jeffrey B. Huter, Reg. No. 41,086; John Kacvinsky, Reg. No. 40,040; Seth Z. Kalson, Reg. No. 40,670; Peter Lam, Reg. No. 44,855; David C. Lundmark, Reg. No. 42,815; Anthony Martinez, Reg. No. 44,223; Paul Nagy, Reg. No. 37,896; Dennis A. Nicholls, Reg. No. 42,036; Leo V. Novakoski, Reg. No. 37,198; Michael Proksch, Reg. No. 43,021; Kevin A. Reif, Reg. No. 36,381; Thomas C. Reynolds, Reg. No. 32,488; Crystal D. Sayles, Reg. No. 44,318; Kenneth M. Seddon, Reg. No. 43,105; Mark Seeley, Reg. No. 32,299; Steven P. Skabrat, Reg. No. 36,279; Howard A. Skaist, Reg. No. 36,008; Paul E. Steiner, Reg. No. 41,326; David Tran, Reg. No. 50,804; Calvin E. Wells, Reg. No. 43,256; Michael Willardson, Reg. No. 50,856; Robert G. Winkle, Reg. No. 37,474; Sharon Wong, Reg. No. 37,760; Steven D. Yates, Reg. No. 42,242; and Charles K. Young, Reg. No. 39,435; my patent attorneys, and George Chen, Reg. No. 50,807; Issac Lin, Reg. No. 50,672; Larry Mennemeier, Reg. No. 51,003; and Lanny Parker, Reg. No. 44,281; my patent agents, of INTEL CORPORATION; and James R. Thein, Reg. No. 31,710, my patent attorney.

Attorney's Docket

A S S I G N M E N T

PATENT

No.: 42390.P9268 (For Execution After Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We,
the undersigned, Qing Guo, Yonghong Yan, Baosheng Yuan,

hereby sell, assign, and transfer to Intel Corporation

a corporation of Delaware, having a principal place of business at

2200 Mission College Boulevard, Santa Clara, CA 95052, ("Assignee"),
and its successors, assigns, and legal representatives, the entire right, title, and interest for the
United States and all foreign countries, in and to any and all improvements that are disclosed in the
PCT application for the United States patent application number 10/019,381 that was filed
September 30, 2000 and assigned Application No. PCT/CN00/00299 and is entitled

METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV
MODEL (HMM) FOR SPEECH RECOGNITION

and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: _____, 20 ____ Name: Qing Guo

Date: _____, 20 ____ Name: Yonghong Yan

Date: _____, 20 ____ Name: Baosheng Yuan

Assignment Document Return Address:
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
12400 Wilshire Boulevard
Seventh Floor
Los Angeles, California 90025
(408) 720-8300



"Boulden, Janice"
<janice.boulden@intel.com>

10/17/02 04:33 PM

To: "Dinh, Quang" <quang.dinh@intel.com>, "Huang, WeiweiX" <weiwei.x.huang@intel.com>
cc: "judy_steinraus@bstz.com" <judy_steinraus@bstz.com>
Subject: RE: Intel China Office

I've copied Wei Wei Huang on this message. It's possible BSTZ wasn't using the correct email address for her.

JB

-----Original Message-----

From: Dinh, Quang
Sent: Thursday, October 17, 2002 4:11 PM
To: Boulden, Janice
Subject: FW: Intel China Office

Bjkh

Do you know the answer?

-----Original Message-----

From: Judy_Steinkraus@bstz.com [mailto:Judy_Steinkraus@bstz.com]
Sent: Thursday, October 17, 2002 3:59 PM
To: Dinh, Quang
Cc: 'Database_Group@bstz.com'
Subject: RE: Intel China Office

On a regular basis I have to secure signatures from inventors. Many appear to already have left Intel and my only means of reaching them has been an admin in the Intel Beijing office named Wei Wei Huang. I am trying to confirm if she still works there, and if not, who I may contact for assistance in her place. Thanks.

"Dinh, Quang"
<quang.dinh@intel.com>
Judy_Steinkraus@bstz.com
(E-mail)" 10/17/02 03:35 PM
To: "'Database_Group@bstz.com'" <Database_Group@bstz.com>
cc: "GRACE ABERCROMBIE" <Grace_Abercrombie@bstz.com>
Subject: RE: Intel China Office

What's it about?

-----Original Message-----

From: Database_Group@bstz.com [mailto:Database_Group@bstz.com]
Sent: Thursday, October 17, 2002 3:37 PM
To: Judy_Steinkraus@bstz.com
Cc: patent.database.group@intel.com; Database_Group@bstz.com

Subject: Re: Intel China Office

PDG: Can you give us a little help with a contact in your Beijing office?
See below. Thanks.

Judy

Steinkraus

To: Database Group/Bstz@BSTZ

cc:

10/17/02

Subject: Intel China Office

02:12 PM

I've had significant trouble reaching people in this office for the past few months. Can you kindly advise (or recommend who in Intel would know) the name of a contact over in the Beijing office? The admin named Wei Wei Huang hasn't been responding lately and the last time I e-mailed this individual, the e-mail bounced back as undeliverable. Thanks everyone.

10/29/02 10¹⁵ pm

42390. various

Spoke to WeiWei Huang 01186108529880
x0 @ Intel Beijing who advised that
many of the inventors have left and cannot
be reached. Some can be reached. She
will fax / e-mail me a list of which ones
she can reach in the next day/week.
She has received my communications in
the past.

Jnf S.

RECEIVED

APR 28 2003

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
LOS ANGELES

Serial/Patent No: 10/019,381 Filing/Issue Date: Not Yet Assigned
Client: Intel Corporation

Title: Method And System To Scale Down A Decision Tree-Based Hidden Markov Model (HMM) For Speech Recognition

BSTZ File No: 42390. P9268 Atty/Secty Initials: JHS/CMW

Date Mailed: 04/17/2003 Docket Due Date: *****

The following has been received in the U.S. Patent & Trademark Office on the date stamped hereon:

<input type="checkbox"/> Amendment/Response (____ pgs.)	<input type="checkbox"/> Express Mail No: _____	<input checked="" type="checkbox"/> Check No: <u>56938</u>
<input type="checkbox"/> Appeal Brief (____ pgs.) (in triplicate)	<input type="checkbox"/> _____ Month(s) Extension of Time	<input type="checkbox"/> Amt: <u>130.00</u>
<input type="checkbox"/> Application - Utility (____ pgs., with cover and abstract)	<input type="checkbox"/> Information Disclosure Statement & PTO-1449 (____ pgs.)	<input checked="" type="checkbox"/> Check No: <u>56939</u>
<input type="checkbox"/> Application - Rule 1.53(b) Continuation (____ pgs.)	<input type="checkbox"/> Issue Fee Transmittal	
<input type="checkbox"/> Application - Rule 1.53(b) Divisional (____ pgs.)	<input type="checkbox"/> Notice of Appeal	
<input type="checkbox"/> Application - Rule 1.53(b) CIP (____ pgs.)	<input type="checkbox"/> Petition for Extension of Time	
<input type="checkbox"/> Application - Rule 1.53(d) CPA Transmittal (____ pgs.)	<input checked="" type="checkbox"/> Petition for Under <u>37</u> C.F.R. <u>1.47(a)</u>	
<input type="checkbox"/> Application - Design (____ pgs.)	<input checked="" type="checkbox"/> Postcard	
<input type="checkbox"/> Application - PCT (____ pgs.)	<input type="checkbox"/> Power of Attorney (____ pgs.)	
<input type="checkbox"/> Application - Provisional (____ pgs.)	<input type="checkbox"/> Preliminary Amendment (____ pgs.)	
<input type="checkbox"/> Assignment and Cover Sheet	<input type="checkbox"/> Reply Brief (____ pgs.)	Notification Of
<input checked="" type="checkbox"/> Certificate of Mailing	<input type="checkbox"/> Response to XXXXXX Missing Require.	
<input checked="" type="checkbox"/> Declaration & POA (8 pgs.) <u>12 sets</u>	<input type="checkbox"/> Small Entity Declaration for Indep. Inventor/Small Business	
<input type="checkbox"/> Disclosure Docs & Orig & Copy of Inventor's Signature (____ pgs.)	<input type="checkbox"/> Transmittal Letter, in duplicate	
<input type="checkbox"/> Drawings: _____ # of sheets includes _____ figures	<input checked="" type="checkbox"/> Fee Transmittal, in duplicate	

Other: Copy Of Notification Of Missing Requirements Under 35 U.S.C. 371 In the United States Designated/Elected Office (DO/EC/US) Declaration Of James H. Satter, 3 pages, ~~Exhibits A and B.~~

*** TX REPORT ***

TRANSMISSION OK

TX/RX NO	3959
CONNECTION TEL	011861085298717
SUBADDRESS	
CONNECTION ID	
ST. TIME	09/03 17:23
USAGE T	06 '27
PGS.	7
RESULT	OK

**BLAKELY
SOKOLOFF
TAYLOR &
ZAFMAN**

A LIMITED LIABILITY
PARTNERSHIP INCLUDING
LAW CORPORATIONS

1279 OAKMEAD PARKWAY
SUNNYVALE, CALIFORNIA 94086
(408) 720-8300 (Telephone)
(408) 720-8383 (Facsimile)

FACSIMILE TRANSMITTAL SHEET

Deliver to: Weiwei X. Huang
Firm Name: Intel China
Fax Number: 011 86 10 8529 8717

From: John P. Ward

Date: 8/1/2002

Operator: Judy Steinkraus

Number of pages including cover sheet: 7

September 3, 2002
Hello, can you please
provide status of these
Telephone No.: documents?
Thank you,
Judy

Message: Hello, these are the documents that were just e-mailed to you. Kindly have Mr. Guo, Yan and Yuan sign and date these documents and please return to my attention via fax to (408) 720-8383 if possible by Monday noon California time. If that is impossible, we can take a one month extension. Thank you and best regards!

CONFIDENTIALITY NOTE

The documents accompanying this facsimile transmission contain information from the law firm of Blakely Sokoloff Taylor & Zafman that is confidential or privileged. The information is intended to be for the use of the individual or entity named on this transmission sheet. If you are not the intended recipient, be aware that any disclosure, copying, distribution, or use of the contents of this faxed information is prohibited. If you have received this facsimile in error, please notify us by telephone immediately so that we can arrange for the retrieval of the original documents at no cost to you.

**IF YOU EXPERIENCE ANY DIFFICULTY IN RECEIVING THE ABOVE PAGES,
PLEASE CALL (408) 720-8300 AND ASK FOR THE OPERATOR NAMED ABOVE.**

Attorney's Docket

ASSIGNMENT

PATENT

No.: 42390.P9268 (For Execution After Filing Patent Application)

In consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We, the undersigned, Qing Guo, Yonghong Yan, and Baosheng Yuan, hereby sell, assign, and transfer to Intel Corporation, a corporation of Delaware, having a principal place of business at 2200 Mission College Boulevard, Santa Clara CA 95052-8119, "Assignee"), and its successors, assigns, and legal representatives, the entire right, title, and interest for the United States and all foreign countries, in and to any and all improvements that are disclosed in the PCT application for the United States patent that was filed 06/30/2000 and assigned PCT Application No. PCT/CN00/00299 and is entitled **METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION**, and in and to said application and all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications that have been or shall be filed in the United States and all foreign countries on any of said improvements; and in and to all original patents, reissued patents, reexamination certificates, and extensions that have been or shall be issued in the United States and all foreign countries on said improvements; and in and to all rights of priority resulting from the filing of said United States application;

agree that said Assignee may apply for and receive a patent or patents for said improvements in its own name; and that, when requested, without charge to, but at the expense of, said Assignee, its successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this Assignment, the undersigned will execute all divisional applications, continuation applications, continued prosecution applications, continuation-in-part applications, substitute applications, renewal applications, reissue applications, reexaminations, extensions, and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney, and other papers; communicate to said Assignee, its successors, assigns, and representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally assist said Assignee, its successors, assigns, or representatives in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements, and all applications for patents and all patents on said improvements, in said Assignee, its successors, assigns, and legal representatives; and

covenant with said Assignee, its successors, assigns, and legal representatives that no assignment, grant, mortgage, license, or other agreement affecting the rights and property herein conveyed has been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: _____, 20 ____ Name: Qing Guo

Date: _____, 20 ____ Name: Yonghong Yan

Date: _____, 20 ____ Name: Baosheng Yuan

**DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION
(FOR INTEL CORPORATION PATENT APPLICATIONS)**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below, next to my name.

I believe I am the original, first, and sole inventor (if only one name is listed below) or an original, first, and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHOD AND SYSTEM TO SCALE DOWN A DECISION TREE-BASED HIDDEN MARKOV MODEL (HMM) FOR SPEECH RECOGNITION, the specification of which

X is attached hereto.
was filed on 06/30/2000 as
United States Application Number _____
or PCT International Application Number PCT/CN00/00299
and was amended on (MM/DD/YYYY) _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claim(s), as amended by any amendment referred to above. I do not know and do not believe that the claimed invention was ever known or used in the United States of America before my invention thereof, or patented or described in any printed publication in any country before my invention thereof or more than one year prior to this application. I do not know and do not believe that the claimed invention was in public use or on sale in the United States of America more than one year prior to this application, nor do I know or believe that the invention has been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on an application filed by me or my legal representatives or assigns more than twelve months (for a utility patent application) or six months (for a design patent application) prior to this application.

I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d), of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

(Number)	(Country)	(Foreign Filing Date - MM/DD/YYYY)	Yes	No
I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States				

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below:

Application Number (Filing Date – MM/DD/YYYY)

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph

INTEL CORPORATION

Rev. 05/09/02 (D3 INTEL)

of Title 35, United States Code, Section 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

Application Number	(Filing Date – MM/DD/YYYY)	Status -- patented, pending, abandoned
--------------------	----------------------------	---

I hereby appoint the persons listed on Appendix A hereto (which is incorporated by reference and a part of this document) as my respective patent attorneys and patent agents, with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected herewith.

Send correspondence to John P. Ward, Esq., BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP, 12400 Wilshire Boulevard 7th Floor, Los Angeles, California 90025 and direct telephone calls to John P. Ward, Esq., (408) 720-8300.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole/First Inventor: Qing Guo

Inventor's Signature _____ Date _____

Residence: Beijing, People's Republic of China Citizenship: People's Republic of China

Post Office Address: 9#306, Dongshengyuan, Haidian District,
Beijing 100082 People's Republic of China

Full Name of Second/Joint Inventor: Yonghong Yan

Inventor's Signature _____ Date _____

Residence: Beaverton, OR Citizenship: People's Republic of China

Post Office Address: 20756 NW AmberView Lane
Beaverton OR 97006

Full Name of Third/Joint Inventor: Baosheng Yuan

Inventor's Signature _____ Date _____

Residence: Singapore Citizenship: Singaporean

Post Office Address: BLK 515, Jurong West, Street 52, #08-15
Singapore

APPENDIX A

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APPENDIX B

Title 37, Code of Federal Regulations, Section 1.56 Duty to Disclose Information Material to Patentability

(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or intentional misconduct. The Office encourages applicants to carefully examine:

(1) Prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) The closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability.

(c) Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

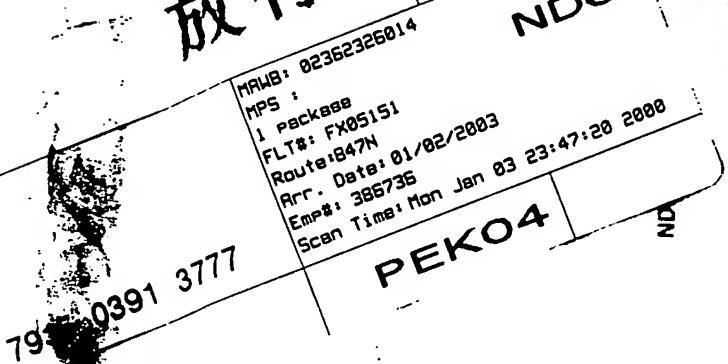
(1) Each inventor named in the application;

(2) Each attorney or agent who prepares or prosecutes the application; and

(3) Every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application.

(d) Individuals other than the attorney, agent or inventor may comply with this section by disclosing information to the attorney, agent, or inventor.

(e) In any continuation-in-part application, the duty under this section includes the duty to disclose to the Office all information known to the person to be material to patentability, as defined in paragraph (b) of this section, which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.



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